

01/29/01

Box 897 A

Please type a plus sign (+) inside this box → ☒Approved for use through 09/30/2000, OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 2028US

First Inventor or Application Identifier Jorn Grolach

Title See 1 in Addendum

Express Mail Label No. EI716356111US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 84]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ☐
4. Oath or Declaration [Total Pages 06]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☒ Computer Readable Copy
- b. ☒ Paper Copy (identical to computer copy)
- c. ☒ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement ☒ Power of  
(when there is an assignee) Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS  
Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☐ \* Small Entity Statement(s) ☐ Statement filed in prior application  
(PTO/SB/09-12) Status still proper and desired
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☒ Other: Express Mail Certificate

\* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY  
FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT  
IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by  
reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

022881

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Joseph T. Majka

Registration No. (Attorney/Agent)

30,570

Signature

*Joseph T. Majka*

Date

26 January 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any  
comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office,  
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Box Patent Application, Washington, DC 20231.

01/26/01

1639 U.S. PTO

09/20/00 10:23:04

## 1. EXPRESSED SEQUENCES OF ARABIDOPSIS THALIANA

[illegible]

# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$1,076.00

## Complete if Known

Application Number Unknown  
Filing Date January 26, 2001  
First Named Inventor Jörn Gorlach  
Examiner Name Unknown  
Group / Art Unit Unknown  
Attorney Docket No. 2028US

3018 U.S.  
09/770423  
01/26/01

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 50-0885

Deposit Account Name Joseph T. Majka

- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee Code	Small Fee Code	Fee Description	Fee Paid
101	690	201	345 Utility filing fee	710.00
106	310	206	155 Design filing fee	
107	480	207	240 Plant filing fee	
108	690	208	345 Reissue filing fee	
114	150	214	75 Provisional filing fee	

SUBTOTAL (1) (\$ 710.00

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
27	-20** = 7	18	126
6	-3** = 3	80	240
Multiple Dependent			0

\*\*or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee Code	Small Fee Code	Fee Description
103	18	203	9 Claims in excess of 20
102	78	202	39 Independent claims in excess of 3
104	260	204	130 Multiple dependent claim, if not paid
109	78	209	39 ** Reissue independent claims over original patent
110	18	210	9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 366.00

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee Code	Small Fee Code	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	0.00
127	50	227	25 Surcharge - late provisional filing fee or cover sheet.	0.00
139	130	139	130 Non-English specification	0.00
147	2,520	147	2,520 For filing a request for reexamination	0.00
112	920*	112	920* Requesting publication of SIR prior to Examiner action	0.00
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	0.00
115	110	215	55 Extension for reply within first month	0.00
116	380	216	190 Extension for reply within second month	0.00
117	870	217	435 Extension for reply within third month	0.00
118	1,360	218	680 Extension for reply within fourth month	0.00
128	1,850	228	925 Extension for reply within fifth month	0.00
119	300	219	150 Notice of Appeal	0.00
120	300	220	150 Filing a brief in support of an appeal	0.00
121	260	221	130 Request for oral hearing	0.00
138	1,510	138	1,510 Petition to institute a public use proceeding	0.00
140	110	240	55 Petition to revive - unavoidable	0.00
141	1,210	241	605 Petition to revive - unintentional	0.00
142	1,210	242	605 Utility issue fee (or reissue)	0.00
143	430	243	215 Design issue fee	0.00
144	580	244	290 Plant issue fee	0.00
122	130	122	130 Petitions to the Commissioner	0.00
123	50	123	50 Petitions related to provisional applications	0.00
126	240	126	240 Submission of Information Disclosure Stmt	0.00
581	40	581	40 Recording each patent assignment per property (times number of properties)	0.00
146	690	246	345 Filing a submission after final rejection (37 CFR § 1.129(a))	0.00
149	690	249	345 For each additional invention to be examined (37 CFR § 1.129(b))	0.00
Other fee (specify)				0.00
Other fee (specify)				0.00

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0.00

## SUBMITTED BY

Name (Print/Type)	Registration No. (Attorney/Agent)	Telephone
Joseph T Majka	30,570	919-425-3000
Signature	Date	
	26 January 2001	

## WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

01/31/2001 AZERGAW1 00000094 500885 09770423

1 FC:101	710.00 CH
2 FC:102	240.00 CH
FC:103	126.00 CH

-1556

7)

10-468-987/38595

Atty. Docket No. 2028US

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Gorlach, Jorn et al.  
Appl. No.: Unknown  
Filed: January 26, 2001  
For: EXPRESSED SEQUENCES OF ARABIDOPSIS THALIANA

Box Patent Application  
Commissioner for Patents  
Washington, D.C. 20231

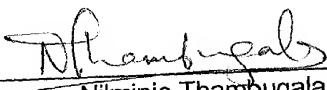


EXPRESS MAIL CERTIFICATE

"Express Mail" label number: EI716356111US

Date of Deposit: January 26, 2001

I hereby state that the following *attached* papers are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, on the date indicated above and is addressed to Box Patent Application, Commissioner for Patents, Washington, D.C. 20231.

  
Nilminie Thambugala